

FAX TRANSMISSION

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DATE: June 10, 2002CLIENT NO.: E3879.0030

Legal Innovators

MESSAGE TO: Ms. Kathy NelsonCOMPANY: USPTOFAX NUMBER: 703-746-4060PHONE: 703-305-5531FROM: Steven I. WeisburdPHONE: (212) 896-5470PAGES (Including Cover Sheet): 12 HARD COPY TO FOLLOW: YES X NO

SENT BY:		DATE/TIME:	
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MESSAGE:

Per your Request.

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Atty Docket No.: P/3879-30

Inventor: Peter Richard Horstall

Filing Date: August 29, 2001

Application No.: 09/942,426

Title: ELECTRONIC TRADING SYSTEM

Documents Filed:

Response to Notice to File Missing Parts (2 pages)

Copy of Notice to File Missing Parts (2 pages)

Petition for Extension of Time (2 pages)

Recordation Form Cover Sheet w/Assignment (2 pages)

Combined Declaration and POA (1 page)

Fee Transmittal (1 page)

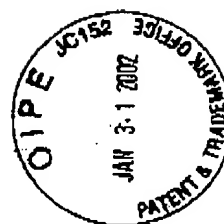
Transmittal (1 page)

Check in the amount of \$570.00

Via: PTO Daily Run

Sender's Initials: SNW/KI

Date: January 31, 2002



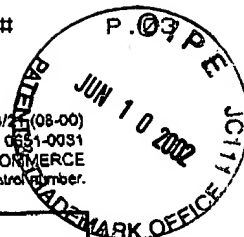
Change of Address Form (1 page)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

PTO/SB/08-00



TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/942,426
	Filing Date	August 29, 2001
	First Named Inventor	Peter Richard Horsfall
	Group Art Unit	
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	P/3879-30

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers w/Recordation Cover Sheet <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Combined Declaration and Power of Attorney <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below) Copy of NFMP. Change of Address Form
Remarks		

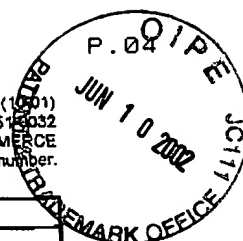
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP Steven I. Weisburd (27,409)
Signature	
Date	January 31, 2002

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PTO/SB/17 (1/01)
Approved for use through 10/31/2002. OMB 065-1032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002		Complete if Known	
Patent fees are subject to annual revision.		Application Number	09/942,426
		Filing Date	August 29, 2001
		First Named Inventor	Peter Richard Horsfall
		Examiner Name	Not Yet Assigned
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		Attorney Docket No.	P/3879-30
TOTAL AMOUNT OF PAYMENT (\$) 440.00			

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																																											
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 04-1073</p> <p>Deposit Account Name: Dickstein Shapiro Morin & Oshinsky LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>		<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td>400.00</td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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Docket No.: P/387930
(PATENT & TRADEMARK OFFICE)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Peter Richard Horsfall

Application No.: 09/942,426

Group Art Unit:

Filed: August 29, 2001

Examiner: Not Yet Assigned

For: ELECTRONIC TRADING SYSTEM

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts
Commissioner for Patents
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date
Granted mailed October 2, 2001, Applicant respectfully submits a Combined Declaration
and Power of Attorney, an Assignment and a Petition for Extension of Time.

Our check for the fee set forth in 37 CFR 1.16(e) is enclosed along with the
Assignment Recordation and Extension fees. The Commissioner is hereby authorized to
charge any deficiency in the fees filed, asserted to be filed or which should have been filed

Docket No.: P/3879-30


Application No.: 09/942,426



herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 04-1073, under Order No. P/3879-30. A duplicate copy of this paper is enclosed.

Dated: January 31, 2002

Respectfully submitted,

By 
Steven I. Weisburd
Registration No.: 27,409
DICKSTEIN SHAPIRO MORIN &
OSHINSKY LLP
1177 Avenue of the Americas
41st Floor
New York, New York 10036-2714
(212) 896-5470
Attorney for Applicant